

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENTS

Applicant: Burghard Grüning, et al.

Docket: 14885

Serial No: Unassigned

Art Unit: Unassigned

Filed: Herewith

Dated: October 12, 2001

For: ENZYMATIC PREPARATION
OF HYDROXY FATTY ACID ESTERS
OF POLYDHYDRIC ALCOHOLS WHICH
ARE SOLID AT ROOM TEMPERATURE



Assistant Commissioner for Patents
United States Patent and Trademark Office
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. U.S. Patent No. 5,744,130, dated April 28, 1998, issued to Guskey, et al.;
2. German Patent No. 155 771, dated July 7, 1982;

CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Mailing Label Number: **EL913701960US**

Date of Deposit: **October 12, 2001**

I hereby certify that this correspondence is being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 C.F.R. §1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Dated: October 12, 2001


Mishelle Mustafa

3. German Patent No. 44 20 516 A1, dated December 14, 1995;
4. German Patent No. 44 20 516 C2, dated December 14, 1995;
5. PCT No. WO 98/58623, dated December 30, 1998;
6. PCT No. WO 98/27952, dated July 2, 1998;
7. Mukherjee, et al., "Substrate Specifity of Lipases in Protease Preparations", J. Agric. Food Chem. 1998, 1998 American Chemical Society, Published on the Web May 13, 1998;
8. Ghosh, et al., "Lipase-Catalyzed Synthesis of Hydroxy Stearates and Their Properties", JAOCS, Vol. 75, No. 8 (1998) pp. 1057-1059;
9. Waldinger, et al., "Enzymatic Esterification of Glycerol III. Lipase-Catalyzed Synthesis of Regioisomerically Pure 1, 3-sn-Diacylglycerols and 1 (3)-rac-Monoacylglycerols Derived from Unsaturated Fatty Acids", JAOCS, Vol. 73, No. 11 (1996), pp. 1513-1519;
10. Bell, et al., "Derivatives from Hydrogenated Castor Oil", Journal of the American Pharmaceutical Association, 32 (1943), pp. 115-118;
11. Abstract of Japanese Patent No. JP 55147238, dated November 17, 1980, American Chemical Society (2001); and
12. Abstract of Japanese Patent No. JP 59014019, dated April 2, 1984, American Chemical Society (2001).

Applicants are submitting a copies of the above-cited references. The relevance of the above-identified references has been described in the specification.

Inasmuch as this Information Disclosure Statement is being submitted in
accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.


Respectfully submitted,

A handwritten signature in black ink, appearing to read "Leslie S. Szivos", with a long horizontal flourish extending to the right.

Leslie S. Szivos
Registration No.: 34,394

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LSS:tt

Form PTO-1449 (REV. 7-80) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		Atty. Docket No. 14885		Serial No. Unassigned				
LIST OF PRIOR ART CITED BY APPLICANT (Use several sheets if necessary)		Applicant Burghard Grüning, et al.						
		Filing Date Herewith		Group Unassigned				
U.S. PATENT DOCUMENTS								
EXAMINER INITIAL*		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (if appropriate)	
	AA	5,744,130	4/28/98	Guskey, et al.				
	AB							
	AC							
	AD							
	AE							
	AF							
	AG							
	AH							
	AI							
FOREIGN PATENT DOCUMENTS								
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES NO	
		155 771	7/7/82	Germany				X
		DE 44 20 516 A1	12/14/95	Germany				X
		DE 44 20 516 C2	12/14/95	Germany				X
		WO 98/58623	12/30/98	PCT				
		Mukherjee, et al., "Substrate Specifity of Lipases in Protease Preparations", J. Agric. Food Chem. 1998, 1998 American Chemical Society, Published on the Web May 13, 1998						
		Ghosh, et al., "Lipase-Catalyzed Synthesis of Hydroxy Stearates and Their Properties", JAOCS, Vol. 75, No. 8 (1998) pp. 1057-1059						
EXAMINER		DATE CONSIDERED						
* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.								

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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION		
					YES	NO	
WO 98/27952	7/2/98	PCT					
JP 55147238	11/17/80	Japan			Abstract		
JP 59014019	4/2/84	Japan			Abstract		
	Waldinger, et al., "Enzymatic Esterification of Glycerol III. Lipase-Catalyzed Synthesis of Regioisomerically Pure 1, 3-sn-Diacylglycerols and 1 (3)-rac-Monoacylglycerols Derived from Unsaturated Fatty Acids", JAOCs, Vol. 73, No. 11 (1996), pp. 1513-1519						
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